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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|----------------|----------|------------|------------|
| 09/828,497 | 04/05/2001 | 2163 | 0.00 | 027448.0008 | 6 | 68 | 4 |

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JUL 24 2001
PATENT & TRADEMARK OFFICE

John H. D'Antico
 Brobeck, Phleger & Harrison LLP
 4801 Plaza on the lake
 Austin, TX 78746

A CONFIRMATION NO. 6818

FILING RECEIPT



"OC000000006153461"

Date Mailed: 06/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jane R. Garrison, Austin, TX;
 Dustin M. Davis, Round Rock, TX;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 06/06/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

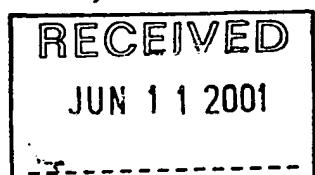
Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Method and system for consummating a transaction in a biometric verification system based on prior transactional histories



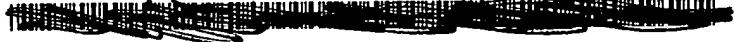
Preliminary Class

705

Data entry by : LEE, KATY

Team : OIPE

Date: 06/06/2001



Please type a plus sign (+) inside this box → +

0300
PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE



TRANSMITTAL FORM

(Use for all correspondence after initial filing)

Total Number of Pages in This Submission 26

| | |
|---------------------|----------------|
| Application Number | 09/828,497 |
| Filing Date | April 5, 2001 |
| Inventors | Davis et al. |
| Group Art Unit | 2163 |
| Examiner Name | To Be Assigned |
| Attorney Docket No. | 027448.0008 |

ENCLOSURES (check all that apply)

| | | |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input checked="" type="checkbox"/> Assignment Papers (for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input checked="" type="checkbox"/> Fee Attached | <input checked="" type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application | Remarks: | |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name John H. D'Antico; Brobeck, Phleger & Harrison LLP

Signature John H. D'Antico

Date July 20, 2001

CERTIFICATE OF MAILING

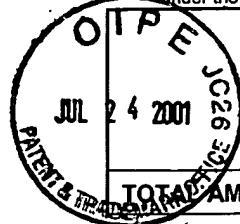
Upon reasonable basis and information and belief, I hereby certify, to the best of my knowledge, that this correspondence, including any papers, letters, or fees referred to as being attached, enclosed, or otherwise affixed herewith, is being deposited with the United States Postal Service on the date set forth below with sufficient postage as First Class Mail in an envelope addressed to Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.

Date July 20, 2001

Typed or Printed Name JOHN H. D'ANTICO

Signature John H. D'Antico

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$932

Complete if Known

| | |
|----------------------|-----------------|
| Application Number | 09/828,497 |
| Filing Date | April 5, 2001 |
| First Named Inventor | Dustin M. Davis |
| Examiner Name | To Be Assigned |
| Group Art Unit | 2163 |
| Attorney Docket No. | 027448.0008 |

METHOD OF PAYMENT

- 1 The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

| | |
|------------------------|--|
| Deposit Account Number | |
| Deposit Account Name | |

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status.
See 37 CFR 1.27

2. Payment Enclosed:

- Check Credit card Money Order Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity | Small Entity | Fee Description | Fee Paid |
|---------------------|--------------|-----------------|------------------------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) |
| 101 | 710 | 201 | 355 |
| | | | Utility filing fee |
| 106 | 320 | 206 | 160 |
| | | | Design filing fee |
| 107 | 490 | 207 | 245 |
| | | | Plant filing fee |
| 108 | 710 | 208 | 355 |
| | | | Reissue filing fee |
| 114 | 150 | 214 | 75 |
| | | | Provisional filing fee |
| SUBTOTAL (1) | | | \$355 |

2. EXTRA CLAIM FEES

| Total Claims | Entity | Small Entity | Entity | Fee Description | Fee Paid |
|-----------------------------|----------|--------------|----------|---|--------------|
| Total Claims | 68 | -20** = | 48 | X 9 = | 432 |
| Independent Claims | 4 | -3** = | 1 | X 40 = | 40 |
| Multiple Independent Claims | | | | = | |
| Large Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 | |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid | |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | | | \$472 |

**Or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|---------------------|----------|-----------------------------------|----------|--|--------------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | 65 |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive – unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive – unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | 40 |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) | | *Reduced by Basic Filing Fee Paid | | SUBTOTAL (3) | \$105 |

SUBMITTED BY**Complete (if applicable)**

| | | | | | |
|-------------------|------------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | John H. D'Antico | Registration No. (Attorney/Agent) | 45,917 | Telephone | (512) 330-4000 |
| Signature | | | | Date | July 20, 2001 |

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